

07/30/01



07-31-01

A

Please type a plus sign (+) inside this box → ☐PTO/SB/05 (4/98)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. CIB-1632A

First Inventor or Application Identifier Ronald P. Reade

Title Ion Texturing Methods and Articles

Express Mail Label No. EL252172770US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 42]
(preferred arrangement set forth below)
- Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 3]
4. Oath or Declaration [Total Pages]
- a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement of Power of Attorney
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
11. ☒ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☐ * Small Entity Statement(s) filed in prior application
Status still proper and desired (PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
15. ☒ Other: Applicant is a small entity.

NOTE FOR ITEMS 1 & 15 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).**16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:**☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: _____

Prior application information: Examiner _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**17. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label☐ Correspondence address below

Name

08076

PATENT TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Charles Nold

Registration No. (Attorney/Agent)

46,470

Signature

C N Nold

Date

Aug July 30, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



08076

PATENT TRADEMARK OFFICE

PTO/SB/17 (12/99)

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL
for FY 2000**

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB-09-12.
See 37 C.F.R. §§ 1.27 and 1.28.**TOTAL AMOUNT OF PAYMENT (\$)** 1,383.00**Complete if Known**

| | |
|----------------------|-----------------|
| Application Number | |
| Filing Date | July 30, 2001 |
| First Named Inventor | Ronald P. Reade |
| Examiner Name | |
| Group / Art Unit | |
| Attorney Docket No. | CIB-1632A |

METHOD OF PAYMENT (check one)

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **120690**Deposit Account Name **Lawrence Berkeley National Laboratory**

- ☒
- Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- 2.
- ☐
- Payment Enclosed:
-
- ☐
- Check
- ☐
- Money Order
- ☐
- Other

FEE CALCULATION**1. BASIC FILING FEE**

| Large Entity Fee Code | Small Entity Fee Code | Fee Description | Fee Paid |
|-----------------------|-----------------------|------------------------|----------|
| 101 690 | 201 345 | Utility filing fee | 355.00 |
| 106 310 | 206 155 | Design filing fee | |
| 107 480 | 207 240 | Plant filing fee | |
| 108 690 | 208 345 | Reissue filing fee | |
| 114 150 | 214 75 | Provisional filing fee | |

SUBTOTAL (1) (\$) 355.00**2. EXTRA CLAIM FEES**

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 112 | -20** = 92 | X 9 | = 828 |
| 8 | -3** = 5 | X 40 | = 200 |
| Multiple Dependent | | | = 0 |

**or number previously paid, if greater. For Reissues, see below

| Large Entity Fee Code | Small Entity Fee Code | Fee Description |
|-----------------------|-----------------------|--|
| 103 18 | 203 9 | Claims in excess of 20 |
| 102 78 | 202 39 | Independent claims in excess of 3 |
| 104 260 | 204 130 | Multiple dependent claim, if not paid |
| 109 78 | 209 39 | ** Reissue independent claims over original patent |
| 110 18 | 210 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 1,028.00**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity Fee Code | Small Entity Fee Code | Fee Description | Fee Paid |
|-----------------------|-----------------------|--|----------|
| 105 130 | 205 65 | Surcharge - late filing fee or oath | 0.00 |
| 127 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet | 0.00 |
| 139 130 | 139 130 | Non-English specification | 0.00 |
| 147 2,520 | 147 2,520 | For filing a request for reexamination | 0.00 |
| 112 920* | 112 920* | Requesting publication of SIR prior to Examiner action | 0.00 |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action | 0.00 |
| 115 110 | 215 55 | Extension for reply within first month | 0.00 |
| 116 380 | 216 190 | Extension for reply within second month | 0.00 |
| 117 870 | 217 435 | Extension for reply within third month | 0.00 |
| 118 1,360 | 218 680 | Extension for reply within fourth month | 0.00 |
| 128 1,850 | 228 925 | Extension for reply within fifth month | 0.00 |
| 119 300 | 219 150 | Notice of Appeal | 0.00 |
| 120 300 | 220 150 | Filing a brief in support of an appeal | 0.00 |
| 121 260 | 221 130 | Request for oral hearing | 0.00 |
| 138 1,510 | 138 1,510 | Petition to institute a public use proceeding | 0.00 |
| 140 110 | 240 55 | Petition to revive - unavoidable | 0.00 |
| 141 1,210 | 241 605 | Petition to revive - unintentional | 0.00 |
| 142 1,210 | 242 605 | Utility issue fee (or reissue) | 0.00 |
| 143 430 | 243 215 | Design issue fee | 0.00 |
| 144 580 | 244 290 | Plant issue fee | 0.00 |
| 122 130 | 122 130 | Petitions to the Commissioner | 0.00 |
| 123 50 | 123 50 | Petitions related to provisional applications | 0.00 |
| 126 240 | 126 240 | Submission of Information Disclosure Stmt | 0.00 |
| 581 40 | 581 40 | Recording each patent assignment per property (times number of properties) | 0.00 |
| 146 690 | 246 345 | Filing a submission after final rejection (37 CFR § 1.129(a)) | 0.00 |
| 149 690 | 249 345 | For each additional invention to be examined (37 CFR § 1.129(b)) | 0.00 |
| Other fee (specify) | | | 0.00 |
| Other fee (specify) | | | 0.00 |

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0.00**SUBMITTED BY**

| | | | | | |
|-------------------|-----------------|-----------------------------------|---------------|-----------|----------------|
| Name (Print/Type) | Charles R. Nold | Registration No. (Attorney/Agent) | 46,470 | Telephone | 510 - 486-6503 |
| Signature | C R Nold | Date | July 30, 2001 | | |

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PRELIMINARY

AMENDMENT TRANSMITTAL LETTER (Small Entity)

Applicant(s): Reade et al.

Docket No.

CIB-1632A

Serial No.

Unknown

Filing Date

July 30, 2001

Examiner

Unknown

Group Art Unit

Unknown

Invention: Ion Texturing Methods and Articles

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is an amendment in the above-identified application.

- ☒ Small Entity status of this application has been established under 37 CFR 1.27 by a verified statement previously submitted.
- ☐ A verified statement to establish Small Entity status under 37 FR 1.27 is enclosed.

The fee has been calculated and is transmitted as shown below.

CLAIMS AS AMENDED

| | CLAIMS REMAINING AFTER AMENDMENT | HIGHEST # PREV. PAID FOR | NUMBER EXTRA CLAIMS PRESENT | RATE | ADDITIONAL FEE |
|--|-------------------------------------|-----------------------------|--------------------------------|---------|-------------------|
| TOTAL CLAIMS | 112 | 20 112 = | 0 x | \$9.00 | \$0.00 |
| INDEP. CLAIMS | 8 | 8 = | 0 x | \$40.00 | \$0.00 |
| Multiple Dependent Claims (check if applicable) <input type="checkbox"/> | | | | | \$0.00 |
| TOTAL ADDITIONAL FEE FOR THIS AMENDMENT | | | | | \$0.00 |

- ☒ No additional fee is required for amendment.
- ☐ Please charge Deposit Account No. _____ in the amount of _____
A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of _____ to cover the filing fee is enclosed.
- ☐ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. _____
A duplicate copy of this sheet is enclosed.
- ☐ Any additional filing fees required under 37 C.F.R. 1.16.
- ☐ Any patent application processing fees under 37 CFR 1.17.

C R Nold

Signature

Dated: July 30, 2001

Reg 46,470



08076

PATENT TRADEMARK OFFICE

CC:

I certify that this document and fee is being deposited on
July 30, 2001 with the U.S. Postal Service as first
class mail under 37 C.F.R. 1.8 and is addressed to the
Assistant Commissioner for Patents, Washington, D.C.
20231.

C R Nold

Signature of Person Mailing Correspondence

Charles R. Nold

Typed or Printed Name of Person Mailing Correspondence